

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicants : Phillip George Ellis

Serial No. : 09/786,739 Examiner : D.C. Crane

Filed : October 15, 2001 Group Art Unit : 3725

For : BUILDING FRAME AND METHOD OF CONSTRUCTION

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the  
United States Postal Service as first class mail in an  
envelope addressed to:

Assistant Commissioner for Patents, Washington, D.C. 20231

February 21, 2003

Date of Deposit

Paul A. Ragusa

Attorney Name

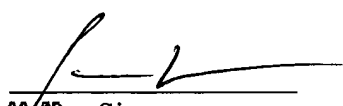
38,587

PTO Registration No.

02/28/2003 HVUONG1 00000084 09786739

01 FC:1806

180.00/OP

  
Signature

February 21, 2003

Date of Signature

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed herewith are patents and/or publications for consideration by the  
Patent and Trademark Office in regard to the invention claimed in the above-described  
application. In compliance with §1.56, such documents are listed in the enclosed  
Form PTO-1449.

Applicants request that the Patent and Trademark Office make of record  
the above-identified documents. Unless otherwise indicated, a full text copy of each  
document is attached. For documents not in English, an English translation or an  
equivalent English language patent or publication is attached. Where a translation is not

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available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

Identification of the documents listed in the attached PTO 1449 Form is not to be construed as an admission of Applicants or Attorneys for Applicants that such documents are available as "prior art" against the above-identified application.

This Information Disclosure Statement is submitted according to the following selected paragraph:

- I. ☐ This Statement is being filed under §1.97(b) within three months of the filing date of the application, or before the first Office Action.
- II. ☒ This Statement is being filed under §1.97(c), with fee, prior to either a final action or a notice of allowance. A check for the fee required by §1.17(p) and a duplicate copy of this Statement is enclosed.
- III. ☐ This Statement is being filed under §1.97(c), with a statement under, §1.97(e) prior to either a final action or a notice of allowance. The undersigned hereby states that (check one):
- ☐ each item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.
- ☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this statement under §1.97(e) after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.
- IV. ☐ This Statement is being filed under §1.97(d), with petition and statement under §1.97(e), after a final action or a notice of allowance but prior to payment of the issue fee. The undersigned hereby petitions that this Statement be considered prior to issuance of the patent. A check for the fee required by §1.17(i) and a duplicate copy of this statement is enclosed. The undersigned hereby states that (check one):

## PATENT

☐ each item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. A copy of the communication is enclosed.

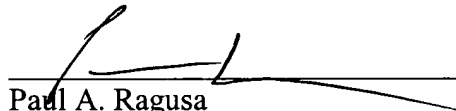
☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this statement under §1.97(e) after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

- V. ☐ Copies of the above-cited art were submitted to or cited by the Patent and Trademark Office under parent application Serial No. \_\_\_\_/\_\_\_\_ and therefore additional copies of this art are unnecessary.

The Commissioner is hereby authorized to charge payment of any additional fee to Deposit Account No. 02-4377.

Respectfully submitted,

Dated: February 21, 2003

  
Paul A. Ragusa  
Patent Office Reg. No. 38,587

BAKER BOTTS L.L.P.  
30 Rockefeller Plaza  
New York, New York 10112-4498

Attorney for Applicant  
(212) 408-2588

Enclosures

**BAKER BOTTS LLP**Please type a plus sign (+) inside this box → ☒**RECEIVED**  
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\$3125  
#8  
prior  
art  
E. Ragusa  
3/5/03

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/786,739
Filing Date	October 15, 2001
First Named Inventor	Philip George Ellis
Group Art Unit	3725
Examiner Name	D.C. Crane
Attorney Docket Number	A34093 - 072142.0117

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

Remarks ☐**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual nameBakerBotts LLP  
30 Rockefeller Plaza  
New York, NY 10112

Signature

Att Name: Paul A. Ragusa  
PTO Reg: 38,587

Date

February 21, 2003

**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: February 21, 2003

Typed or printed name

Paul A. Ragusa

Signature

Date

February 21, 2003

# BAKER BOTTS LLP

## FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180

### Complete if Known

Application Number 09/786,739  
Filing Date October 15, 2001  
First Named Inventor Philip George Ellis  
Examiner Name D.C. Crane  
Art Unit 3725  
Attorney Docket No. A34093 - 072142.0117

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

02-4377

Baker Botts LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$0

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	- 20 = 0	X	0
Multiple Dependent	- 3 = 0	X	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180

### SUBMITTED BY

Name (Print/Type) Paul A. Ragusa

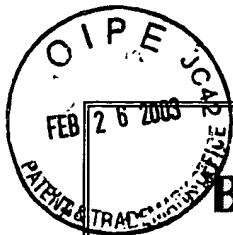
Signature

Registration No. 38,587  
(Attorney/Agent)

(Complete if applicable)

Telephone 212 408-2588

Date February 21, 2003



**BAKER BOTTS** LLP

Attorney Docket Number: A34093 - 072142.0117

Title: BUILDING FRAME AND METHOD OF CONSTRUCTION

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Use Space Below for Additional Information: